



**RCSI**

RCSI DEVELOPING HEALTHCARE LEADERS WHO MAKE A DIFFERENCE WORLDWIDE

# RCSI Open Access Policy 2018

Version	Status	Authors	Reviewed By	Approved By	Date
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## 1. PURPOSE OF POLICY

The purpose of the policy is to:

- Maximise access to RCSI research outputs for use and re-use by others for the benefit of human health.
- Increase awareness of the excellence of RCSI research and researchers thereby helping to attract students and researchers to RCSI; foster collaborations and enhance RCSI's reputation and public engagement activities.
- Ensure RCSI policy complies with Science Foundation Ireland (SFI), Health Research Board (HRB), European Commission (EC) and other funder requirements for outputs to be open access and to ensure RCSI continues to attract funding.
- Align RCSI policy with national open science principles, including the National Open Access Principles<sup>1</sup>, to which RCSI is a signatory.
- Facilitate open access to, and long term storage and preservation of, research outputs in recognition that research outputs are unique and valuable institutional assets.

## 2. DEFINITION OF OPEN ACCESS

"Free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited".<sup>2</sup>

## 3. POLICY SUMMARY

RCSI supports 'Green'<sup>3</sup> open access through deposit in open repositories. All peer-reviewed journal articles and published conference papers must be deposited in the RCSI open access institutional repository. This must include deposit of the author's final accepted, peer-reviewed manuscript (i.e., post-print) within 6 months of publication, subject to publishers' permissions. Deposit is strongly encouraged for all other types of outputs, e.g., reports, books, book sections and chapters. Data sets and other research support materials may be deposited in other repositories however, metadata records with links to these outputs are required to be added to the RCSI open access institutional repository. For these the School of Postgraduate Studies *Dissertation Research Thesis Open Access Policy 2018* applies. See Tables 1 and 2 for policy details and the specific responsibilities of authors and RCSI.

## 4. ARTICLE PROCESSING CHARGES (APCs) FOR GOLD OPEN ACCESS AND PUBLISHER EMBARGOS

RCSI supports "Green" open access and encourages researchers to publish only in journals that allow them to be compliant with funder requirements. Authors who wish to pursue "Gold" routes to open access, i.e., immediate open access availability on payment of an article processing charge (APC), should factor APCs into grant applications or make provision in department budgets.

## 5. WHO THE POLICY APPLIES TO:

This policy applies to all employees of RCSI and post-graduate research students and to all research outputs which are a result of employment with RCSI, from research grants awarded to RCSI or from the use of RCSI resources and facilities. It applies to co-authored as well as single author outputs.

## 6. COMPLIANCE AND RESEARCHER INTEGRITY

Principal investigators, supervisors and PG students are individually responsible for ensuring compliance with this policy and familiarising themselves with the responsibilities for record keeping, sharing data and findings, and authorship outlined in the *RCSI Statement on Researcher Integrity*. Principle investigators and supervisors are responsible for ensuring their teams and students are compliant with this policy.

<sup>1</sup> National Open Access Principles <https://epubs.rcsi.ie/npoa.pdf>

<sup>2</sup> Budapest Open Access Initiative 2002 <http://www.budapestopenaccessinitiative.org/read>

<sup>3</sup> RCSI Library Research Support guide <https://libguides.rcsi.ie/researchsupport/openaccess>

## 7. MONITORING AND REPORTING

Mechanisms for monitoring and reporting on open access compliance will be developed.

## 8. AUTHOR AND RCSI RESPONSIBILITIES:

<b>Academics, researchers and postgraduate research students are asked to:</b>
1. Plan for open access publishing: Discuss with collaborators at the start of a project how research results will be published to comply with open access policies.
2. Obtain an ORCID unique author identifier, and use it everywhere, including when submitting publications, applying for grants, and in any research workflow, to ensure the individual is credited for their work.
3. Ensure any Copyright Transfer Agreement (CTA) rights and permissions are acceptable to you before signing any CTA documents and challenge anything that stops you complying with the policy. Seek advice from the Office of Research and Innovation if in doubt.
4. Choose journals, where possible, and other publication outlets that enable you to deposit an open access version in the institutional repository.
5. Provide details on all forms of research output to the institutional repository including information about, and links to, datasets and other research materials (where appropriate). Outputs include journal articles, conference papers, reports, registered protocols, books, book sections and chapters.
6. Deposit a digital copy of the author accepted manuscript (AAM) of all journal articles to the institutional repository within 6 months of publication, subject to publishers' permissions. Researchers are also strongly encouraged to deposit the full text of all other types of publications, including reports, books and book chapters, in the institutional repository.
7. PG students on programmes with a dissertation/ research thesis component are required to deposit a digital copy of their thesis into the institutional repository. As stated in the <i>Dissertation/ Research Thesis Open Access Policy</i> all theses will be made open access on deposit unless the student has been granted an embargo on the authorisation of the project supervisor.
8. Maintain awareness of and comply with funder policies relating to open access, being mindful of funders' requirements relating to maximum embargo periods, licencing requirements and any requirement for deposit on specific repositories.

**Table 1: Authors' responsibilities**

<b>RCSI will:</b>
1. Support researchers in their choice of where to publish, having regard to quality, alternative dissemination channels, impact, personal re-use, & value for money.
2. Support researchers to consider how best to make their work visible and accessible, including how best to enable use of their work.
3. Undertake advocacy and collaboration with publishers and other bodies, making efforts to influence academic publishing models and practices that affect RCSI authors, in order to support the aims of this policy.
4. Provide a centrally managed institutional repository, integrated with the Research Information Management System, to make research outputs freely available as soon as possible (subject to the authors' and/or publisher's permissions and any confidentiality or commercial constraints), and to promote widespread discovery, dissemination and maximise citation of works.
5. Provide training, information and advice on OA matters, assisting researchers to be compliant with their funder's OA policy and RCSI's OA policy.
6. Manage the long-term preservation, continued access, and storage of material in the institutional repository.
7. Maintain awareness of funder policies relating to open access and highlight to researchers and new or changed requirements.

**Table 2: RCSI's responsibilities**

## 9. OWNERSHIP AND GOVERNANCE

Name	Responsibility
<b>Director of Research &amp; Innovation</b>	Policy Owner
<b>Office of Research &amp; Innovation</b>	Manage the RIMS institutional publications database Report compliance with funder policies Advise on Copyright Transfer Agreements
<b>Principal Investigators</b>	Supply the final manuscript version of publications to Library Comply with funder policies regarding open access Comply with RCSI Open Access Policy
<b>Student Supervisors &amp; PG research students</b>	Deposit a digital copy of thesis into the institutional repository Comply with <i>Dissertation Research Thesis Open Access Policy 2018</i>
<b>Library</b>	Manage the open access institutional repository and the long term curation of research outputs Provide training and advice on open access publication and author rights Report on usage and impact of publications & outputs in the institutional repository

## 10. OTHER RELEVANT POLICIES

RCSI Policies	
<b>RCSI Research Data Management Policy</b>	
<b>RCSI IT Policies</b>	<a href="http://staff.rcsi.ie/administration-and-support/information-technology/policies-and-procedures">http://staff.rcsi.ie/administration-and-support/information-technology/policies-and-procedures</a>
<b>RCSI Statement on Researcher Integrity</b>	<a href="http://www.rcsi.ie/files/SchoolofPGStudies/20160720122530_RCSI_Statement_on_Research_Int.pdf">http://www.rcsi.ie/files/SchoolofPGStudies/20160720122530_RCSI_Statement_on_Research_Int.pdf</a>

Major Research Funder Open Access Policies	
<b>SFI</b>	<a href="https://www.sfi.ie/funding/sfi-policies-and-guidance/other/">https://www.sfi.ie/funding/sfi-policies-and-guidance/other/</a>
<b>HRB</b>	<a href="http://www.hrb.ie/funding/funding-schemes/before-you-apply/all-grant-policies/hrb-policy-on-open-access/">http://www.hrb.ie/funding/funding-schemes/before-you-apply/all-grant-policies/hrb-policy-on-open-access/</a>
<b>EC Horizon 2020</b>	<a href="http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf">http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf</a>
<b>Wellcome Trust</b>	<a href="https://wellcome.ac.uk/funding/guidance/open-access-policy">https://wellcome.ac.uk/funding/guidance/open-access-policy</a>

## 11. Glossary of Terms

- **Accepted author manuscript (AAM):** also known as a post-print. The peer-reviewed, final version of an article prior to publication. This is not the same as the **publisher's PDF**.
- **Article processing charge (APC):** a publisher's fee for covering publishing costs such as those associated with editorial and peer-review processes. A consequence of paying an APC is **gold (immediate) open access** to the research paper.
- **Crawl:** systematically visit (a number of web pages) in order to create an index of data
- **Date of acceptance:** the date an article is accepted, after peer review, for publication by a journal.
- **Deposit:** adding research **output**, such as an article, to a repository.
- **Discoverable:** the article can be found by readers and search engines, usually facilitated through a bibliographic or **metadata** record associated with the full text.
- **Embargo:** a period during which access to scholarly work is restricted to those who have paid for access. Once the embargo period ends, an article can be deposited in a repository (if permitted by the publisher).
- **Gold open access:** publishers make research articles immediately and freely available from the point of publication, and usually apply an **article processing charge**.
- **Green open access:** the author makes a version of a research output freely available via an institutional or subject repository. Publishers stipulate the version of manuscript that can be self-archived and the length of embargo period following publication before the paper is made open access.
- **Institutional repository:** an online archive of an institution's scholarly outputs. The collection can include publications in peer-reviewed journals, books and book-sections, technical reports, working papers, monographs, conference presentations, audio and visual materials or any other research content that has some scholarly value.
- **Metadata:** data that describes other data. For items in open access repositories, this usually consists of a full bibliographic reference, abstract, keywords and similar information.
- **Open access licence:** the licence outlines what a person may do with a third party copyright work. An example of an open licence is a [Creative Commons \(CC\) licence](#), which combines 4 basic elements: the attribution, the derivatives, the commercial use, and the 'share-alike' principle.
- **Output:** a piece of research content, including articles, books, chapters, technical reports, working papers, monographs, conference presentations, or audio and visual materials. It can also include research datasets.
- **Pre-print:** the first draft of an article, before peer-review, possibly even before any contact with a publisher.
- **Post-print:** the version of the paper after peer-review, with revisions having been made
- **Publisher's PDF:** the final published version of an article, including the publisher's copy-editing, proof corrections, layout, and typesetting.
- **Self-archiving:** the process of depositing your research output to a repository along with bibliographic metadata. At RCSI you can do this via **Symplectic**.
- **Subject repository:** an online archive of open access literature in particular fields e.g. PubMed Central
- **Symplectic:** the Research Information Management System (RIMS) used by RCSI to manage research metadata and **deposit** related publications to RCSI's institutional repository.

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